



Docket No: 9595.10

7/20/02  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )  
RICHARD S. DICK )  
Serial No.: 10/056,236 ) ART UNIT  
Filed: JANUARY 23, 2002 )  
For: METHOD AND APPARATUS FOR REQUESTING )  
RETRIEVING, AND DE-IDENTIFIED MEDICAL )  
INFORMATION )

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Honorable Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

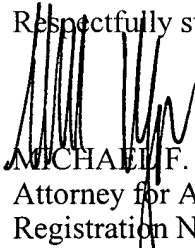
Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

Since all listed references are either in the English language or are accompanied by a translation into English, no concise explanation of relevance is required under 37 C.F.R. § 1.98(a)(3).

Dated this 3 day of May, 2002

Respectfully submitted,



MICHAEL F. KRIEGER  
Attorney for Applicant  
Registration No. 35,232

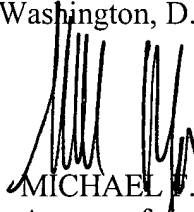
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In re application of )  
RICHARD S. DICK )  
Serial No.: 10/056,236 ) ART UNIT  
Filed: JANUARY 23, 2002 )  
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RETRIEVING, AND OBTAINING DE-IDENTIFIED )  
MEDICAL INFORMATION )

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on May 3, 2002.

  
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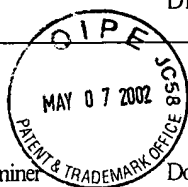
Transmitted: Transmittal for Information  
Disclosure Statement  
Information Disclosure Statement  
Form PTO-1449 Listing of All References  
Legible Copies of All References Listed  
Postcard

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Applicants: RICHARD S. DICK  
 Serial No.: 10/056,236  
 Filing Date: JANUARY 23, 2002  
 For: METHOD AND APPARATUS FOR  
 REQUESTING RETRIEVING, AND OBTAINING  
 DE-IDENTIFIED MEDICAL INFORMATION

Atty Docket No. 9595.10  
 Group Art Unit: Not Yet Known



U.S. Patent Documents

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date
_____ A1.	6,182,047	01/30/01	DIRBAS	705	3	06/02/95
_____ A2.	6,151,581	11/21/00	KRAFTSON ET AL.	705	3	12/16/97
_____ A3.	6,131,090	10/10/00	BASSO, JR. ET AL.	706	23	03/04/97
_____ A4.	6,128,620	10/03/00	PISSANOS ET AL.	707	102	02/02/99
_____ A5.	6,125,350	09/26/00	DIRBAS	705	2	09/20/95
_____ A6.	6,088,695	07/11/00	KARA	707	10	09/17/96
_____ A7.	6,076,166	06/13/00	MOSHFEGHI ET AL.	713	201	01/17/97
_____ A8.	6,073,106	06/06/00	ROZEN ET AL.	705	3	10/30/98
_____ A9.	6,055,506	04/25/00	FRASCA, JR.	705	3	04/25/97
_____ A10.	6,034,605	03/07/00	MARCH	340	573.1	12/08/98
_____ A11.	6,026,363	02/15/00	SHEPARD	705	3	01/06/98
_____ A12.	6,018,713	01/25/00	COLI ET AL.	705	2	04/09/98
_____ A13.	5,995,939	11/30/99	BERMAN ET AL.	705	3	10/14/97
_____ A14.	5,991,730	11/23/99	LUBIN ET AL.	705	3	10/08/97
_____ A15.	5,974,389	10/26/99	CLARK ET AL.	705	3	03/01/96
_____ A16.	5,953,809	09/21/99	KOWALSKI	29	521	09/25/97
_____ A17.	5,924,074	07/13/99	EVANS	705	3	09/27/96
_____ A18.	5,913,197	06/15/99	KAMEDA	705	3	11/07/96
_____ A19.	5,899,998	05/04/99	McGAULEY ET AL.	707	104	08/31/95
_____ A20.	5,890,129	03/30/99	SPURGEON	705	4	05/30/97
_____ A21.	5,867,821	02/02/99	BALLANTYNE ET AL.	705	2	02/16/96
_____ A22.	5,823,948	10/20/98	ROSS, JR. ET AL.	600	300	07/08/96

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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 DE-IDENTIFIED MEDICAL INFORMATION



Atty Docket No. 9595.10  
 Group Art Unit: Not Yet Known

_____ A23.	5,832,450	11/03/98	MYERS ET AL.	705	3	05/05/97
_____ A24.	5,812,983	09/22/98	KUMAGAI	705	3	08/03/95
_____ A25.	5,772,585	06/30/98	LAVIN ET AL.	600	300	08/30/96
_____ A26.	5,644,778	07/01/97	BURKS ET AL.	395	800	11/02/93
_____ A27.	5,579,393	11/26/96	CONNER ET AL.	380	25	06/21/94
_____ A28.	5,499,293	03/12/96	BEHRAM ET AL.	380	4	01/24/95
_____ A29.	5,327,341	07/05/94	WHALEN ET AL.	364	413.01	10/28/91
_____ A30.	5,291,399	03/01/94	CHACO	364	413.02	07/27/90

#### Prior Art Cited by Applicants

While the filing of prior art statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper prior art statement, Form PTO-1449 shall be accompanied by an explanation of relevance of each listed item, a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all prior art citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as prior art cited by the Examiner on Form PTO-892.

The reference designations "A1", "A2", etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A", "B", "C", etc. on Office Action Form PTO-1142.

:\ODM\PCDOCS\DOCS\620789\1

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

0410

MICHAEL F. KRIEGER  
REGISTERED PATENT ATTORNEY

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- ☒ Form PTO-1449 list of thirty (30) references submitted for consideration.
- ☒ Legible copies of the listed references or their relevant portions.
- ☐ All English translations of each nonenglish reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

- ☐ Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.

- ☐ Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.
- ☐ Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

- ☐ Promptness Certification.
- ☐ Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ constituting submission fee -- see 37 C.F.R. 1.17(p)
- ☐ Petition for Consideration and Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ -- see 37 C.F.R. 1.17(i)(1).
- ☒ In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Promptness Certification meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 500843 of the undersigned.

Dated this 3 day of May, 2002.

Respectfully submitted,

  
MICHAEL F. KRIEGER  
Attorney for Applicant  
Registration No. 35,232

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